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**UTILITY
PATENT APPLICATION
TRANSMITTAL**(Only for new nonprovisional applications under 37 CFR
1.53 (b))

Attorney Docket No. LEX-0285-USA

First Inventor Yu et al.

Title Novel Human Protocadherin Proteins and Polynucleotides
Encoding the Same

Express Mail Label No. EL747066105US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
2. ☒ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification [Total Pages 33] (preferred arrangement set forth below)
- Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 2]
- a. ☒ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**
signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☒ diskette
- ii. ☒ paper 57 pages
- c. ☒ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: _____

Prior application information:

Examiner

Group Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Labelor ☐ Correspondence address below

(Insert Customer No. or attach bar code label here)

| | | | |
|---------|-----------|--------------------------|--|
| Name | | 24231 | |
| Address | | PATENT, TRADEMARK OFFICE | |
| City | State | Zip | |
| Country | Telephone | Fax | |

| | | | |
|-------------------|---|-----------------------------------|-------------------|
| Name (Print/Type) | Lance K. Ishimoto | Registration No. (Attorney/Agent) | 41,886 |
| Signature | Lance K. Ishimoto by David W. H. B. C. R. S. No. 41,071 | Date | December 19, 2001 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

Complete if Known

| | |
|----------------------|-------------------|
| Application Number | To be assigned |
| Filing Date | December 19, 2001 |
| First Named Inventor | Yu et al. |
| Examiner Name | To be assigned |
| Group Art Unit | To be assigned |
| Attorney Docket No. | LEX-0285-USA |

TOTAL AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to

Deposit Account Number: 50-0892
Deposit Account Name: _____

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☒ Applicant claims small entity status See 37 CFR 1.27

2. Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Fee Code | Small Fee Code | Fee (\$) | Fee Description | Fee Paid |
|----------------|----------------|----------|---------------------------|----------|
| 101 | 740 | 201 | 370 Utility filing fee | 370 |
| 106 | 330 | 206 | 165 Design filing fee | |
| 107 | 510 | 207 | 255 Plant filing fee | |
| 108 | 740 | 208 | 370 Reissue filing fee | |
| 114 | 160 | 214 | 80 Provisional filing fee | |

SUBTOTAL (1) (\$ 370.00)

2. EXTRA CLAIM FEES

| Paid | Extra Claims | Fee from below | Fee |
|--------------------|--------------|----------------|-----|
| Total Claims | 6 | -20"- | 0 X |
| Independent Claims | 6 | -3"- | 3 X |
| Multiple Dependent | | | |

| Large Fee Code | Small Fee Code | Fee (\$) | Fee Description |
|----------------|----------------|----------|---|
| 103 | 18 | 203 | 9 Claims in excess of 20 |
| 102 | 84 | 202 | 42 Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 126.00)

**or number previously paid, if greater, For Reissues, see above

3. ADDITIONAL FEES

| Large Fee Code | Small Fee Code | Fee (\$) | Fee Description | Fee Paid |
|----------------|----------------|----------|---|----------|
| 105 | 130 | 205 | 65 Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 Non-English specification | |
| 147 | 2,520 | 147 | 2,520 For filing a request for <i>ex parte</i> reexamination | |
| 112 | 920* | 112 | 920* Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* Requesting publication of SIR after | |
| 115 | 110 | 215 | 55 Extension for reply within first month | |
| 116 | 420 | 216 | 200 Extension for reply within second month | |
| 117 | 920 | 217 | 480 Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 Extension for reply within fourth month | |
| 119 | 1,960 | 219 | 980 Extension for reply within fifth month | |
| 128 | 320 | 219 | 160 Notice of Appeal | |
| 120 | 320 | 220 | 160 Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 Utility issue fee (or reissue) | |
| 143 | 460 | 243 | 230 Design issue fee | |
| 144 | 620 | 244 | 310 Plant issue fee | |
| 122 | 130 | 122 | 130 Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 Processing fee under 37 CFR 1.17(g) | |
| 126 | 180 | 126 | 180 Submission of Information Disclosure Stmt | |
| 581 | 40 | 581 | 40 Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 148 | 740 | 248 | 370 For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 179 | 740 | 279 | 370 Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

| | | | | | |
|-------------------|---|----------------------------------|-----------------|--------------------------|-------------------|
| Name (Print/Type) | Lance K. Ishimoto | Registration No (Attorney/Agent) | 41,866 | Complete (if applicable) | 281-963-3333 |
| Signature | <i>Lance K. Ishimoto by David W. Habber</i> | DAVID W. HABBER | PER. NO. 41,671 | Date | December 19, 2001 |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization of PTO-2038.

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

1005225-121901

| | | |
|---|------------------------------------|--|
| NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i) | First Named Inventor Yu et al. | |
| | Title | Novel Human Protocadherin Proteins and Polynucleotides Encoding the Same |
| | Atty Docket Number | LEX-0285-USA |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

December 19, 2001

Date

Lance K. Ishimoto by David W. Hsueh
Signature *DAVID W. HSUEH*
REG. NO. 41,071

Lance K. Ishimoto

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

10025225-121901

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Applicant: Yu *et al.*

U.S. Ser. No.: To be assigned Attorney Docket No.: LEX-0285-USA

Filing Date: December 19, 2001

For: Novel Human Protocadherin Proteins
and Polynucleotides Encoding the
Same

VERIFIED STATEMENT

Box Patent Application
Commission for Patents
Washington, D.C. 20231

Sir:

I, DRENDA D. THOMAS, do declare and state as follows:

1. I prepared a Sequence Listing in paper and computer readable form under 37 C.F.R. Sec. 1.821-1.825 in connection with the above-captioned patent application, both of which are being submitted herewith.

2. I hereby state that the contents of the paper and computer readable copies of the Sequence Listing are the same.

Signed,

December 19, 2001
Date


Drenda D. Thomas

10025225-121501